

TechForce Services

Global Governance Risk And Compliance Management

User Manual Guide

Prepared by: **TechForce Services**

Dated: Feb 20th 2024

Contents

Contents	2
1. Purpose of the document	3
2. Introduction	3
3. Functional User:	3
Parent Compliance Data Load:	3
Case Creation:	4
Case Assignments:	7
Case Stages:	8
Approvals:	8
4. Functional Team Manager: Functional team manager will be able to perform below actions.	19
Case Creation:	19
Approvals:	20
Escalation:	20
5. Compliance Officer: Role of Risk Manager in context of this application is- As a highest authority of GRC they can take any action and have full access to the entire system.	21
Case Creation:	22
Approvals:	23
Reports Compliance Officer can see on the Home page Dashboard	24

1. Purpose of the document

The purpose of this document is to guide Functional users, Functional Manager and Risk Manager to use the GRC application and the configurations available in the application.

2. Introduction

In GRC application, each user role has a different level of permission to complete the process of case creation and approval. Below topics would explain in detail about each user role.

3. Functional User:

- Parent Compliance Data Load
- Case Creation
- Case Assignments
- Case Stages
- Approvals
 - Approvals of 2 types:
 - As a Functional User Submit a Compliance case for Approval
 - Recalling Submitted Case
 - Submitting for Second Level Approval

Parent Compliance Data Load:

Once the Compliance data gets loaded into the salesforce environment based on the value in the category or subcategory field, Compliance Case gets created and assigned to the respective Queue. And the functional user who is part of the queue starts to work on the case and moves the case status to Assessment from In progress.

Case Creation:

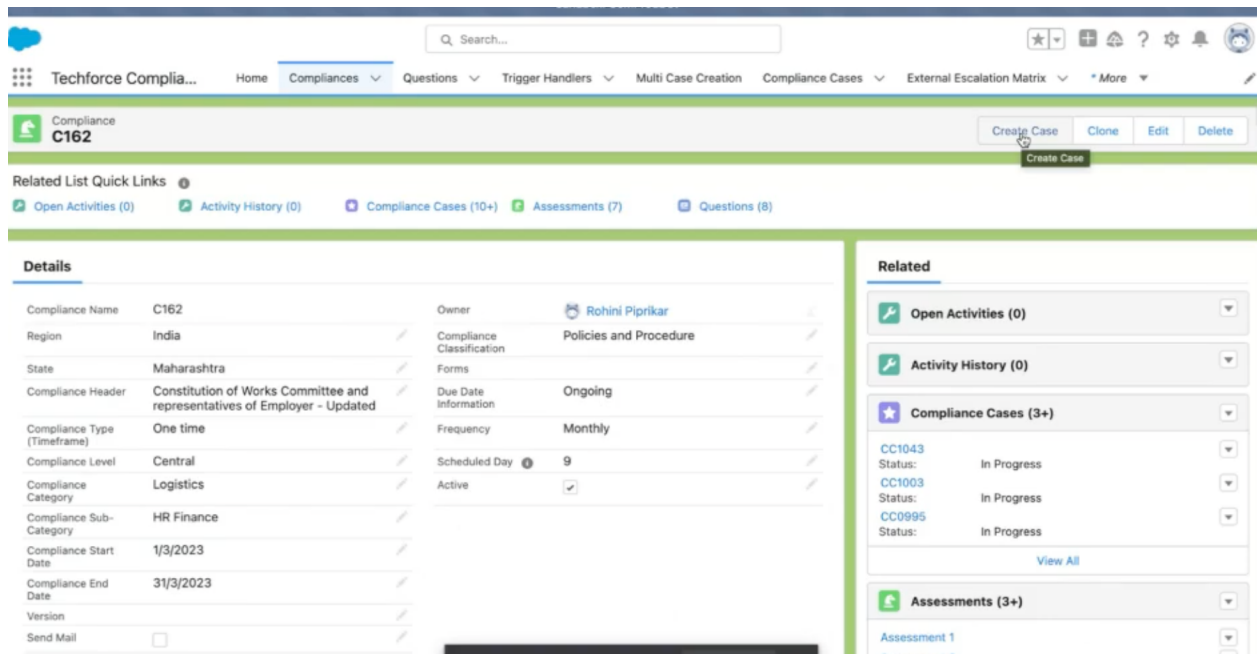
Three ways of Case Creation:

If The Compliance has Assessment and Sub Assessment, Case Creation process creates Parent Compliance Case as well as Assessment and Sub Assessment Cases.

1.Manual Case Creation- Case can be created manually for any compliance record via **Create Case** button and this will trigger a flow in the backend and after clicking on that button user can create individual Compliance case as well as Case Assessment directly from the Compliance Records. When any case gets created in the system the status of the case will be in “In Progress” status and when it moves to the next status which is “Assessment” it will reflect the Case Assessment records under related list.

Please follow the below steps:

- Go to Compliance record
- Click on “Create Case” Button



The screenshot displays the TechForce Compliance system interface. At the top, there is a navigation bar with a search bar and various icons. Below the navigation bar, the main header shows 'Techforce Complia...' and a dropdown menu for 'Compliances'. The main content area is divided into two sections: 'Details' and 'Related'.

Details Section:

Compliance Name	C162	Owner	Rohini Piprikar
Region	India	Compliance Classification	Policies and Procedure
State	Maharashtra	Forms	
Compliance Header	Constitution of Works Committee and representatives of Employer - Updated	Due Date Information	Ongoing
Compliance Type (Timeframe)	One time	Frequency	Monthly
Compliance Level	Central	Scheduled Day	9
Compliance Category	Logistics	Active	☒
Compliance Sub-Category	HR Finance		
Compliance Start Date	1/3/2023		
Compliance End Date	31/3/2023		
Version			
Send Mail	☐		

Related Section:

- Open Activities (0)**
- Activity History (0)**
- Compliance Cases (3+)**
 - CC1043 Status: In Progress
 - CC1003 Status: In Progress
 - CC0995 Status: In Progress
- Assessments (3+)**
 - Assessment 1

2. **Bulk Case Creation-** We have a “**Mass Case Creation**” page from where the user can select the compliance records and create cases in bulk.

Please follow the below steps:

Multi Case Creation		
Compliance List		
Create Case for Selected Compliances		
☐ Name	Compliance Description	Priority
☐ C056	Constitution of Works Committee and representatives of Employer	High
☐ C057	Notice and procedure upon closure of establishment	Low
☐ C058	Imposition of Fines	Medium
☐ C059	Restroom/ Washroom	High
☐ C060	Procedures as to elections of Workmen's representatives and Meetings	Medium
☐ C061	Prohibition and regulation of doors, ground-floor windows and bars opening outwards causing obstru...	Medium
☐ C062	Mandatory Statutory Obligation and Records	Medium
☐ C063	Sales Process	High
☐ C064		Medium
☐ C065		Low
☐ C066	test dummy data	Low

3. **Scheduler Case Creation-** Cases will be created through a scheduled process. No manual intervention is required.

Scheduler will run every month/Yearly/Daily/Weekly/Half Yearly based on the frequency field value, Compliance Cases and Case Assessment records gets created automatically. When the Compliance Frequency field has Monthly Value. System will trigger monthly automation to run and filter all Compliances records which have the Frequency field set to Monthly and create Compliance Cases and Case Assessment records accordingly.

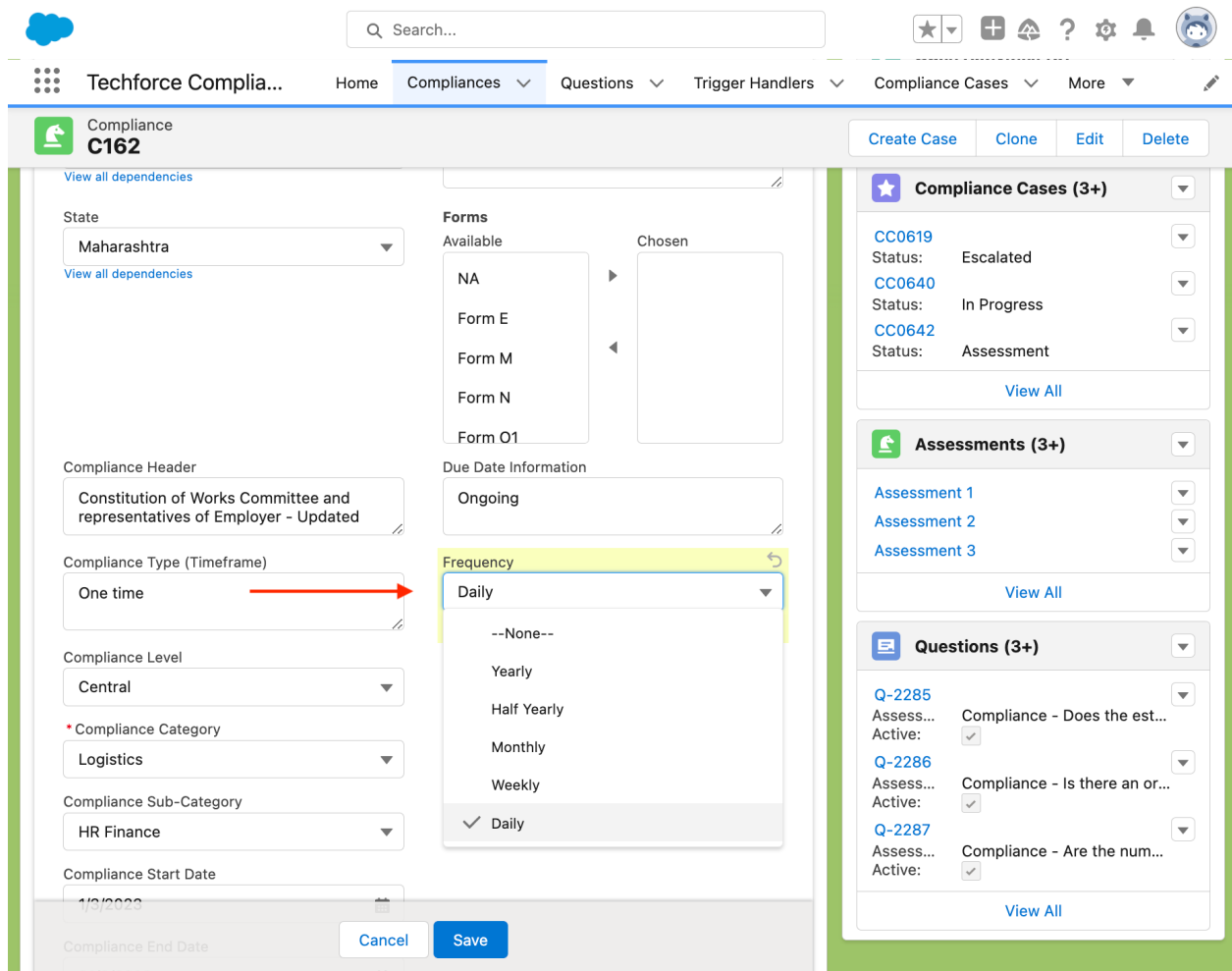
Frequency needs to be defined to run the scheduler automatically for every Month provided on the Compliance object Page.

Run Scheduler on specific day: Scheduler will run on selected Day on Compliance record and that will trigger a system automation to run and compliance Cases and Case Assessment gets created automatically.

Please follow the below steps:

1. Open the Compliance record and Select the field: 'Frequency' you want the Scheduler to run at. The Scheduler has the following options:

- a. Daily
- b. Weekly
- c. Monthly
- d. Yearly
- e. Half-yearly



Techforce Compliance C162

State: Maharashtra

Compliance Header: Constitution of Works Committee and representatives of Employer - Updated

Compliance Type (Timeframe): One time

Compliance Level: Central

Compliance Category: Logistics

Compliance Sub-Category: HR Finance

Compliance Start Date: 1/2/2022

Compliance End Date: 31/3/2022

Frequency: Daily

Forms Available: NA, Form E, Form M, Form N, Form O1

Chosen:

Due Date Information: Ongoing

Compliance Cases (3+): CC0619 (Escalated), CC0640 (In Progress), CC0642 (Assessment)

Assessments (3+): Assessment 1, Assessment 2, Assessment 3

Questions (3+): Q-2285 (Compliance - Does the est...), Q-2286 (Compliance - Is there an or...), Q-2287 (Compliance - Are the num...)

2. If the Scheduler is set at 'Daily', the scheduler will run every day and check all the compliances matching the 'daily' frequency.

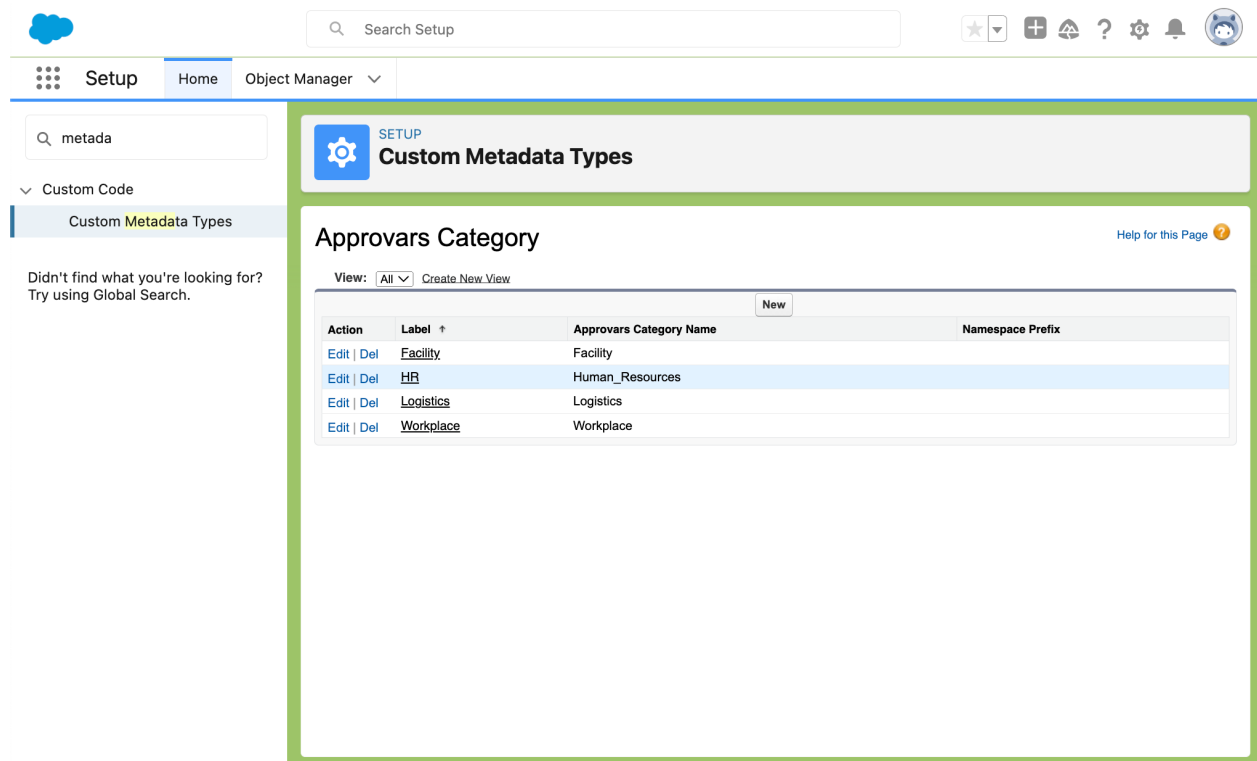
3. Before creating the compliance case, the scheduler will check if there are any Assessments associated with it. If there are any, it will automatically create compliance and assessment cases.

Case Assignments:

Once the compliance gets loaded into the system and based on the Category/Functional area it belongs to it assigns the case automatically to the **Functional User** queue.

Four Queues are available in the GRC system:

- Logistics
- Human Resource
- Workplace
- Facility



The screenshot shows the Salesforce Setup interface. The left sidebar contains a search bar with 'meta' and a list of navigation items including 'Custom Code' and 'Custom Metadata Types'. The main content area is titled 'Custom Metadata Types' and displays the 'Approvals Category' section. This section includes a table with columns for 'Action', 'Label', 'Approvals Category Name', and 'Namespace Prefix'. The table lists four categories: Facility, Human Resources, Logistics, and Workplace. Each row has 'Edit' and 'Del' links. A 'New' button is located at the top right of the table. The interface also features a top navigation bar with 'Setup', 'Home', and 'Object Manager' tabs, and a search bar at the top.

Action	Label	Approvals Category Name	Namespace Prefix
Edit Del	Facility	Facility	
Edit Del	HR	Human Resources	
Edit Del	Logistics	Logistics	
Edit Del	Workplace	Workplace	

Case Stages:

Below are the case stages available in the system:

- In progress
- Assessment
- Review
- Escalated
- Completed

Approvals:

In order to promote informed decision-making, requiring consent for compliance cases by respective SMEs, there should be a mechanism where, when a compliance case is in Assessment stage, a Functional User of the case category will submit the compliance case for approval and the relevant Functional Manager would take action accordingly.

Compliance Case Approvals:

1. **First Level Approval:** This enables the appropriate stakeholder to approve, reject, or reassign the compliance case within a reasonable time frame to ensure compliance.
2. **Second Level Approval:** If the compliance case requires an additional authorization then the "Enable for Second Level Approval" checkbox has to be selected. This will forward the case for a second level of approval.

The following are the steps to be taken by the Functional User to configure and submit the compliance case for approval:

1. When Case reaches Assessment Stage
2. Functional user can see the Submit for Approval Button on the top right corner of the record
3. Click on the button
4. You can see the Approver List where it has listed the manager name to whom it will be assigned for approval.
5. Hit Submit to submit the record for approval
6. The status will show Pending once its submitted
7. Status changes once approved or rejected
8. Request can be recalled using the recall button

As a Functional User Submit a Compliance case for Approval

1. Go to the Compliance Case that needs to be submitted for approval.
2. To initiate the approval process, please click on the "Submit for Approval Process" button. Please note that this button will only be visible and operational when the status is set to "Assessment."

Status = InProgress

Techforce Complia...

Compliances

Questions

Compliance Cases

Multi Case Creation

Case Responses

Search...

Star

+

Cloud

?

Settings

Notifications

Profile

Compliance Case

CC0110

Submit for Approval not Visible since Status is In Progress

Clone

Change Record Type

Edit

Compliance ID

C063

Case Priority

1-High

Case Closed Date

4/5/2023

Due Date

Created By

Almas Sultan, 12/21/2022 12:57 PM

In Progress

Assessment

Review

Escalated

Completed

Mark Status as Complete

Details

Questions

Related

Chatter

Action ID

CC0110

Owner

Facility

Compliance ID

C063

Compliance Description

Sales Process

Category

Facility

Case Closed Date

4/5/2023

Case Priority

1-High

Active

☒

Due Date

Sub Category

Status

In Progress

Cutoff Date

4/28/2023

Enable second level approvar

☒

Compliant Status

Approval Status

Rejected For Second Level

Rejection Reason

Compliant Status Automation

Parent Case

Case Header

Case Sub Header

Additional Info

Recent Items (3)

CC0110

Complianc...

C063

Case Priority

1-High

Case Clos...

4/5/2023

Due Date

Created By

Almas Sultan, 12/21/202...

CC0457

Complianc...

C063

Case Priority

1-High

Case Clos...

3/1/2023

Due Date

Created By

Rohini Piprikar, 2/21/202...

CC0111

Complianc...

C063

Case Priority

1-High

Case Clos...

4/5/2023

Due Date

Created By

Almas Sultan, 12/21/202...

Status = Assessment












Techforce Compla...
Compliances
Questions
Compliance Cases
Multi Case Creation
Case Responses


Compliance Case
CC0110

[Submit For Approval Process](#)
[Clone](#)
[Change Record Type](#)

Compliance ID
C063

Case Priority
1-High

Case Closed Date
4/5/2023

Due Date

Created By
 Almas Sultan, 12/21/2022 12:57 PM



Assessment

Review

Escalated

Completed

 Mark Status as Complete

Details
Questions
Related
Chatter

Action ID
CC0110

Compliance ID
C063

Category
Facility

Case Priority
1-High

Due Date

Status
Assessment

Enable second level approvar
☒

Approval Status
Rejected For Second Level

Compliant Status Automation

Parent Case

Case Header

Case Sub Header

Additional Info

Owner
Facility

Compliance Description
Sales Process

Case Closed Date
4/5/2023

Active
☒

Sub Category

Cutoff Date
4/28/2023

Compliant Status

Rejection Reason
L2 Rejected from Sys Admin

Recent Items (3)


CC0110

Complianc... C063
Case Priority 1-High
Case Clos... 4/5/2023
Due Date
Created By Almas Sultan, 12/21/202...

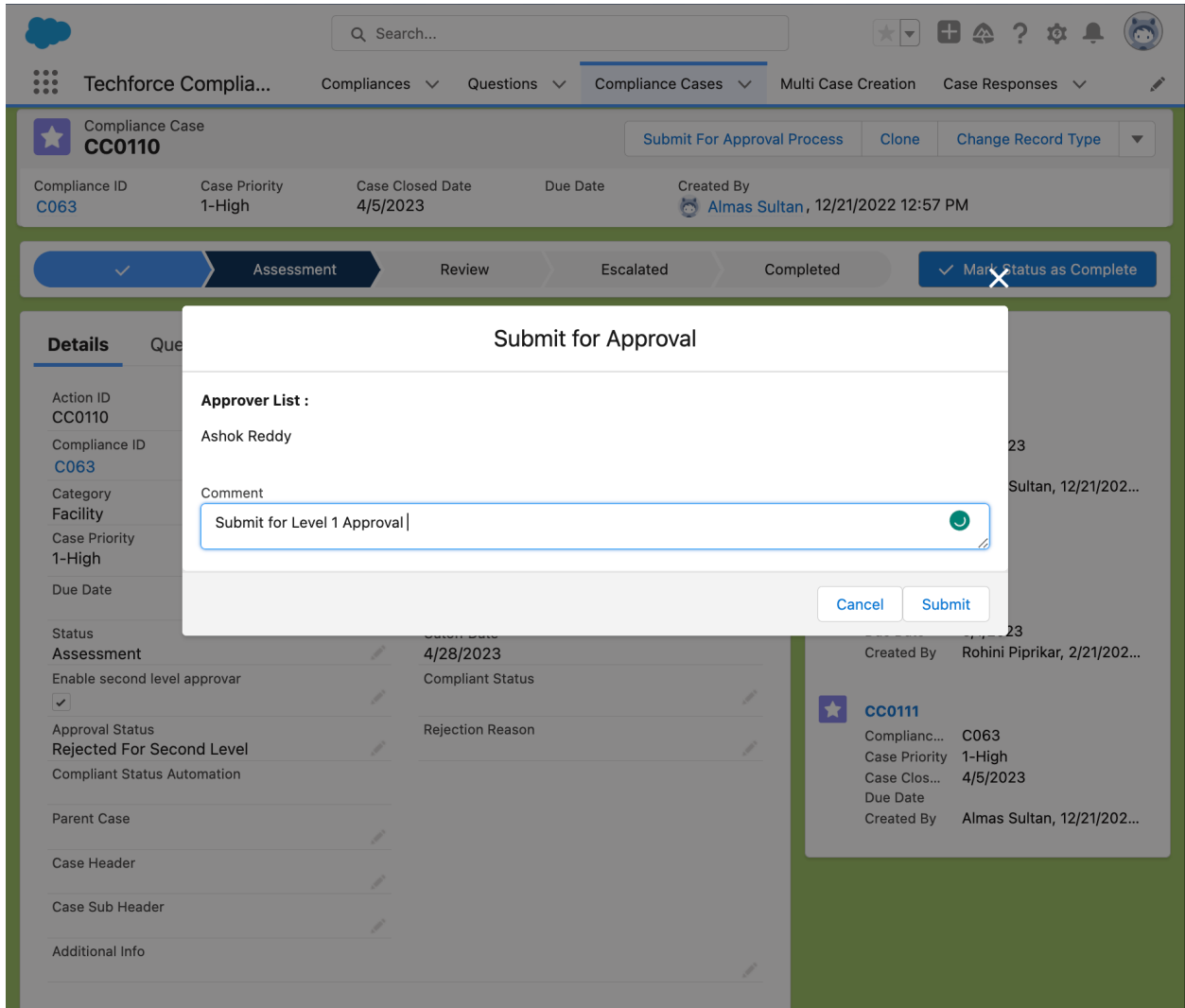

CC0457

Complianc... C063
Case Priority 1-High
Case Clos...
Due Date 3/1/2023
Created By Rohini Piprikar, 2/21/202...


CC0111

Complianc... C063
Case Priority 1-High
Case Clos... 4/5/2023
Due Date
Created By Almas Sultan, 12/21/202...

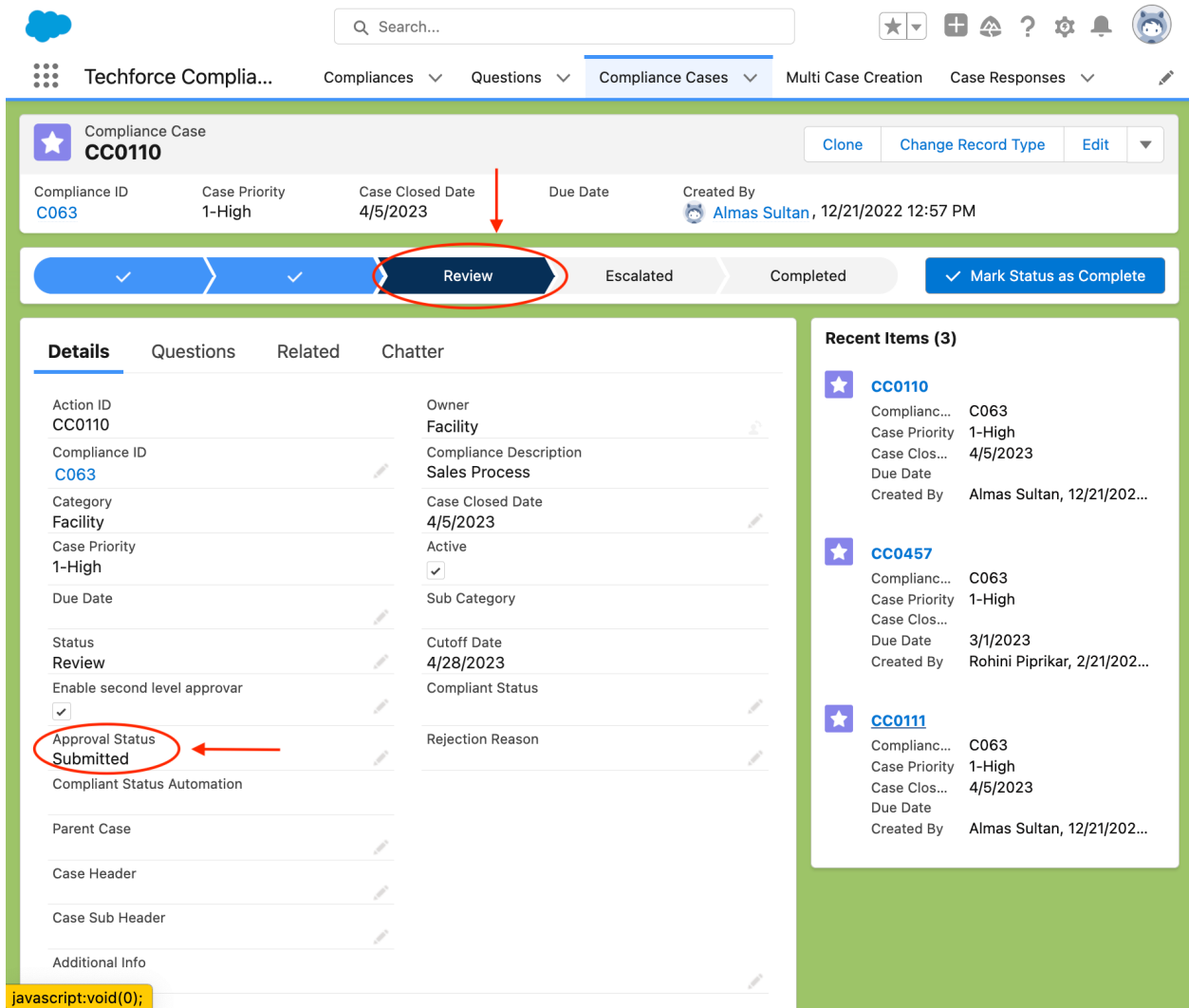
3. After clicking on the "Submit for Approval" button, a pop-up box will appear with a list of approvers and a comment section. In the comment section, the Functional User can provide relevant details related to the approval request and click "Submit"



The screenshot displays the TechForce Compliance Case interface. At the top, there is a search bar and navigation tabs for 'Compliances', 'Questions', 'Compliance Cases', 'Multi Case Creation', and 'Case Responses'. The 'Compliance Cases' tab is active, showing a case titled 'Compliance Case CC0110' with a star icon. Below the title, there are buttons for 'Submit For Approval Process', 'Clone', and 'Change Record Type'. The case details include: Compliance ID C063, Case Priority 1-High, Case Closed Date 4/5/2023, Due Date, and Created By Almas Sultan, 12/21/2022 12:57 PM. A progress bar at the bottom shows the status 'Assessment' as the current step, followed by 'Review', 'Escalated', and 'Completed'. A 'Mark Status as Complete' button is also present. A modal window titled 'Submit for Approval' is open, showing the 'Approver List' as Ashok Reddy. The 'Comment' field contains the text 'Submit for Level 1 Approval'. The modal has 'Cancel' and 'Submit' buttons at the bottom right. The background shows a list of compliance cases with columns for Action ID, Compliance ID, Category, Facility, Case Priority, Due Date, Status, and Assessment.

Action ID	Compliance ID	Category	Facility	Case Priority	Due Date	Status	Assessment
CC0110	C063	Facility	1-High				
Enable second level approvar					4/28/2023	Compliant Status	
Approval Status						Rejected For Second Level	
Compliant Status Automation						Rejection Reason	
Parent Case							
Case Header							
Case Sub Header							
Additional Info							

4. Once submitted, "Compliance Case Status" field will be updated to "Review" and "Approval Status" will change to "Submitted".



The screenshot displays the TechForce Compliance Case interface. At the top, there is a search bar and navigation tabs for 'Compliances', 'Questions', and 'Compliance Cases'. The 'Compliance Cases' tab is selected, showing a list of cases. The case 'CC0110' is highlighted, with details such as 'Compliance ID C063', 'Case Priority 1-High', 'Case Closed Date 4/5/2023', 'Due Date', and 'Created By Almas Sultan, 12/21/2022 12:57 PM'. Below the case details, there is a status bar with buttons for 'Review', 'Escalated', and 'Completed'. The 'Review' button is circled in red. In the 'Details' section, the 'Approval Status' is 'Submitted', which is also circled in red. The 'Recent Items (3)' section on the right shows a list of recent cases, including 'CC0110', 'CC0457', and 'CC0111'.

javascript:void(0);

5. Navigate to the "Related" tab to view the Approval History of a submitted case and check to whom it is assigned for approval. The Approval History section will display all the relevant details of the submission. Once a record is submitted for approval, it will be locked.

Techforce Complia... Compliances Questions Compliance Cases Multi Case Creation Case Responses

Compliance Case CC0110

Clone Change Record Type Edit

Case Priority 1-High
Case Clos... 4/5/2023
Due Date
Created By Almas Sultan, 12/21/202...

Upload Files
Or drop files

Approval History (6) Recall

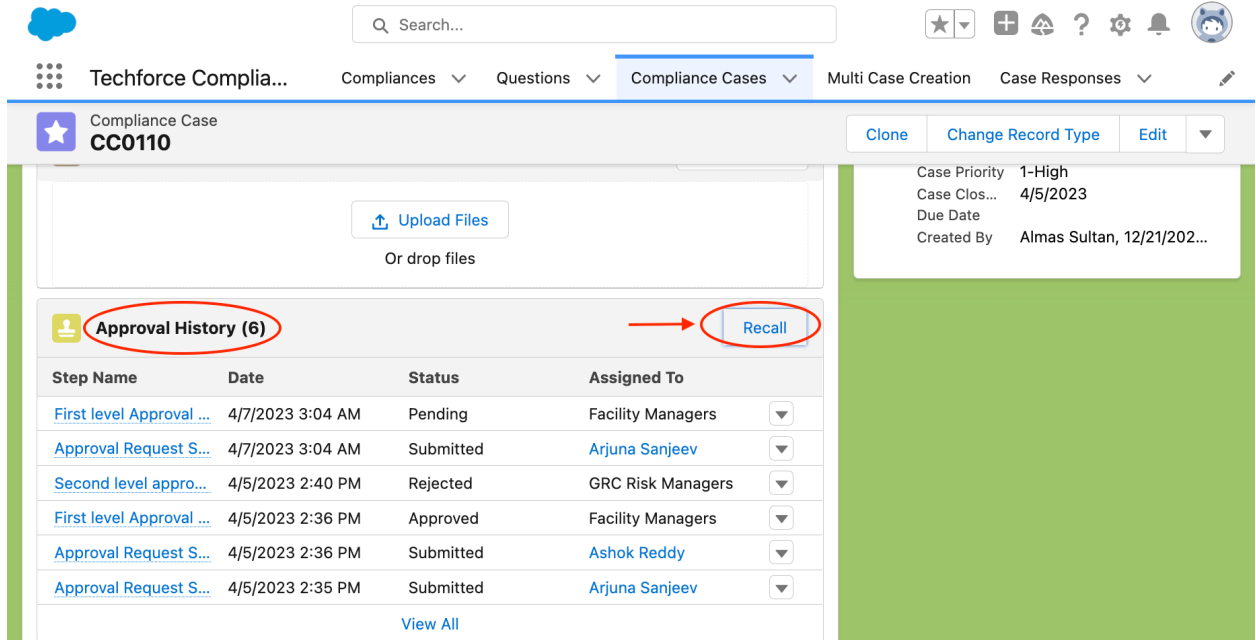
Step Name	Date	Status	Assigned To
First level Approval ...	4/7/2023 3:04 AM	Pending	Facility Managers
Approval Request S...	4/7/2023 3:04 AM	Submitted	Arjuna Sanjeev
Second level appro...	4/5/2023 2:40 PM	Rejected	GRC Risk Managers
First level Approval ...	4/5/2023 2:36 PM	Approved	Facility Managers
Approval Request S...	4/5/2023 2:36 PM	Submitted	Ashok Reddy
Approval Request S...	4/5/2023 2:35 PM	Submitted	Arjuna Sanjeev

View All

Recalling Submitted Case

1. The Functional User can recall the submission until Approver takes any action, in case required.

2. If the Functional User decides to recall the case, Compliance Case Status will change back to "Assessment" and the record will be unlocked.



The screenshot displays the TechForce Compliance Case interface. At the top, there is a search bar and navigation tabs including 'Compliances', 'Questions', and 'Compliance Cases'. The 'Compliance Cases' tab is selected, showing a list of cases. The case 'CC0110' is highlighted, and its details are shown on the right. The 'Approval History' section is expanded, showing a table of steps. The 'Recall' button is circled in red, and an arrow points to it from the 'Approval History' header.

Case Details:

- Case Priority: 1-High
- Case Clos...: 4/5/2023
- Due Date: 4/5/2023
- Created By: Almas Sultan, 12/21/202...

Approval History (6)

Step Name	Date	Status	Assigned To
First level Approval ...	4/7/2023 3:04 AM	Pending	Facility Managers
Approval Request S...	4/7/2023 3:04 AM	Submitted	Arjuna Sanjeev
Second level appro...	4/5/2023 2:40 PM	Rejected	GRC Risk Managers
First level Approval ...	4/5/2023 2:36 PM	Approved	Facility Managers
Approval Request S...	4/5/2023 2:36 PM	Submitted	Ashok Reddy
Approval Request S...	4/5/2023 2:35 PM	Submitted	Arjuna Sanjeev

[View All](#)

Search...

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Techforce Complia...

Compliances

Questions

Compliance Cases

Multi Case Creation

Case Responses

★ Compliance Case
CC0110

Clone

Change Record Type

Edit

Case Priority

Case Clos...

Exp Date

Created By

1-High

4/5/2023

Almas Sultan, 12/21/202...

Upload Files

Approval History (6)

Step Name	Date
First level Approval ...	4/7/2023 3:0
Approval Request S...	4/7/2023 3:0
Second level appro...	4/5/2023 2:4
First level Approval ...	4/5/2023 2:5
Approval Request S...	4/5/2023 2:5
Approval Request S...	4/5/2023 2:5

★ Compliance Case History (

Date	Field	User	Original value	New value
4/7/2023 3:04 AM	Record locked.	Arjuna Sanjeev		
4/7/2023 3:04 AM	Status	Arjuna Sanjeev	Assessment	Review
4/7/2023 3:04 AM	Approval Status	Arjuna Sanjeev	Rejected For Se...	Submitted
4/7/2023 2:56 AM	Status	Arjuna Sanjeev	In Progress	Assessment
4/7/2023 1:27 AM	Status	Arjuna Sanjeev	Assessment	In Progress
4/5/2023 2:40 PM	Record unlocked.	Almas Sultan		

View All

Activity History (0)

View All

Recall Approval Request

Comments

Cancel

Recall



 Home
  Compliances
  Questions
  Trigger Handlers
  Compliance Cases
  More

 Compliance
C162

[Create Case](#)
[Clone](#)
[Edit](#)
[Delete](#)

[View all dependencies](#)

State

Maharashtra

[View all dependencies](#)

Compliance Header

Constitution of Works Committee and representatives of Employer - Updated

Compliance Type (Timeframe)

One time

Compliance Level

Central

* Compliance Category

Logistics

Compliance Sub-Category

HR Finance

Compliance Start Date

1/2/2022

Compliance End Date

31/12/2022

Forms

Available

NA
Form E
Form M
Form N
Form O1

Chosen

Due Date Information

Ongoing

Frequency

Yearly
--None--
✓ Yearly
Half Yearly
Monthly
Weekly
Daily

Compliance Cases (3+)

CC0619
Status: Escalated
CC0640
Status: In Progress
CC0642
Status: Assessment
[View All](#)

Assessments (3+)

Assessment 1
Assessment 2
Assessment 3
[View All](#)

Questions (3+)

Q-2285
Assess... Compliance - Does the est...
Active: ☒
Q-2286
Assess... Compliance - Is there an or...
Active: ☒
Q-2287
Assess... Compliance - Are the num...
Active: ☒
[View All](#)

Cancel

Save

Submitting for Second Level Approval

1. If required, the Functional User can enable the option for Second-Level approval at the compliance level. Note, this action needs to be performed before the Approver approves or rejects the submission.



Techforce Compla...

Compliances ▾

Questions ▾

Compliance Cases ▾

Multi Case Creation

Case Responses ▾

Compliance Case
CC0110[Submit For Approval Process](#)[Clone](#)[Change Record Type](#)Compliance ID
C063Case Priority
1-HighCase Closed Date
4/5/2023

Due Date

Created By
 Almas Sultan, 12/21/2022 12:57 PM

Assessment

Review

Escalated

Completed

[✓ Mark Status as Complete](#)

Details

Questions

Related

Chatter

Action ID
CC0110Compliance ID
C063Category
FacilityCase Priority
1-High

Due Date

Status

Assessment

Enable second level approvar

Approval Status
Rejected For Second Level

Compliant Status Automation

Parent Case

Case Header

Case Sub Header

Additional Info

Owner
FacilityCompliance Description
Sales ProcessCase Closed Date
4/5/2023Active
☒

Sub Category

Cutoff Date
4/28/2023

Compliant Status

Rejection Reason
L2 Rejected from Sys Admin

Recent Items (3)



CC0110

Complianc... C063

Case Priority 1-High

Case Clos... 4/5/2023

Due Date

Created By Almas Sultan, 12/21/202...



CC0457

Complianc... C063

Case Priority 1-High

Case Clos...

Due Date 3/1/2023

Created By

Rohini Piprikar, 2/21/202...



CC0111

Complianc... C063

Case Priority 1-High

Case Clos... 4/5/2023

Due Date

Created By Almas Sultan, 12/21/202...

4. **Functional Team Manager:** Functional team manager will be able to perform below actions.

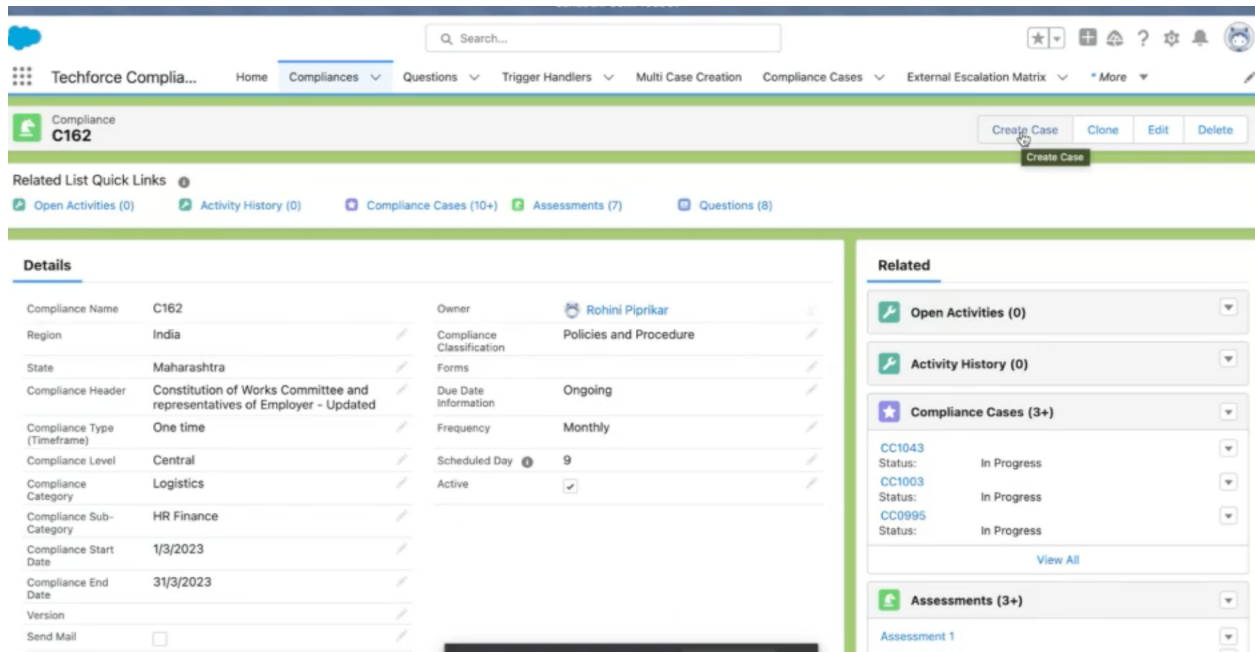
- Case Creation
- Approvals
- Escalation

Case Creation:

Manual- Case can be created manually for any compliance record via create case button and this will trigger a flow in the backend and After clicking on that button user can create individual Compliance case as well as Case assessment directly from the Compliance Records. When any case gets created in the system the status of the case is “In Progress” and when it moves to the next status which is “Assessment” it will reflect the Case Assessment records under the related list.

Please follow the below steps:

- Go to Compliance record
- Click on “Create Case” Button



Compliance Case C162

Related List Quick Links: Open Activities (0), Activity History (0), Compliance Cases (10+), Assessments (7), Questions (8)

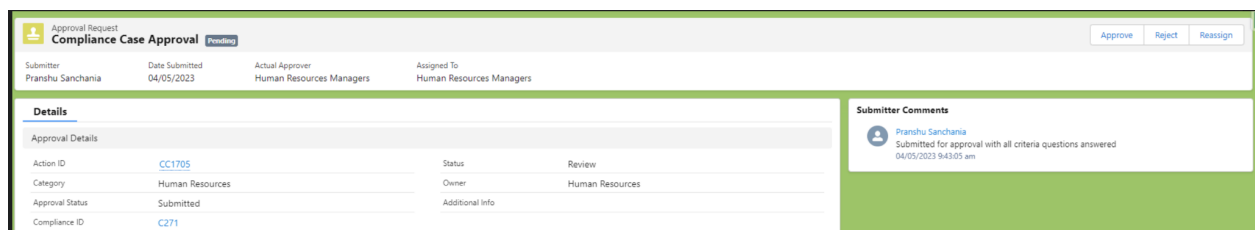
Details	
Compliance Name	C162
Region	India
State	Maharashtra
Compliance Header	Constitution of Works Committee and representatives of Employer - Updated
Compliance Type (Timeframe)	One time
Compliance Level	Central
Compliance Category	Logistics
Compliance Sub-Category	HR Finance
Compliance Start Date	1/3/2023
Compliance End Date	31/3/2023
Version	
Send Mail	☐
Owner	Rohini Piprikar
Compliance Classification	Policies and Procedure
Forms	
Due Date Information	Ongoing
Frequency	Monthly
Scheduled Day	9
Active	☒

Related

- Open Activities (0)
- Activity History (0)
- Compliance Cases (3+)
 - CC1043 Status: In Progress
 - CC1003 Status: In Progress
 - CC0995 Status: In Progress
- Assessments (3+)
 - Assessment 1

Approvals:

All approval of records submitted by Functional Users goes to Functional Team Manager for first level Approval. Manager receives an email notification and can login into GRC application and Approve or Reject and also Reassign it to other users.



Approval Request: Compliance Case Approval (Pending)

Submitter: Pranshu Sanchania | Date Submitted: 04/05/2023 | Actual Approver: Human Resources Managers | Assigned To: Human Resources Managers

Buttons: Approve, Reject, Reassign

Details	
Approval Details	
Action ID	CC1705
Category	Human Resources
Approval Status	Submitted
Compliance ID	C271
Status	Review
Owner	Human Resources
Additional Info	

Submitter Comments

Pranshu Sanchania
Submitted for approval with all criteria questions answered
04/05/2023 9:43:05 am

Escalation:

First level of escalation will come to the Functional team Manager. An escalation email is sent to the Functional Manager. They can login to the system and action on the escalated case.

5. Compliance Officer: Role of Risk Manager in context of this application is- As a highest authority of GRC they can take any action and have full access to the entire system.

- Verify the user provided information is complete & accurate.
- Review inputs from the Functional Users & Managers for consistency and alignment with company policy & regulatory requirements.
- Confirm that the application has effectively captured the identified non compliances or risks.
- Ensure that the users have been assigned with the ownership & accountability and escalation points are also clearly defined
- Ensure escalations are taken care in a timely manner
- Check that users have uploaded the documentary evidence wherever required.
- Ensure that appropriate reports have been generated and relevant stakeholders have access to them
- Appropriate access & permissions are provided to the users
- Overall, the Compliance Officer is responsible to identify & assess the risk that the organization may face.
- Developing & implementing the risk mitigation strategies to minimize the impact of non- compliance.
- Ensure proper reporting to the stakeholders based upon the compliance inputs
- Based upon the results of the assessments, help organization develop policies & procedures
- To enable collaboration between different departments

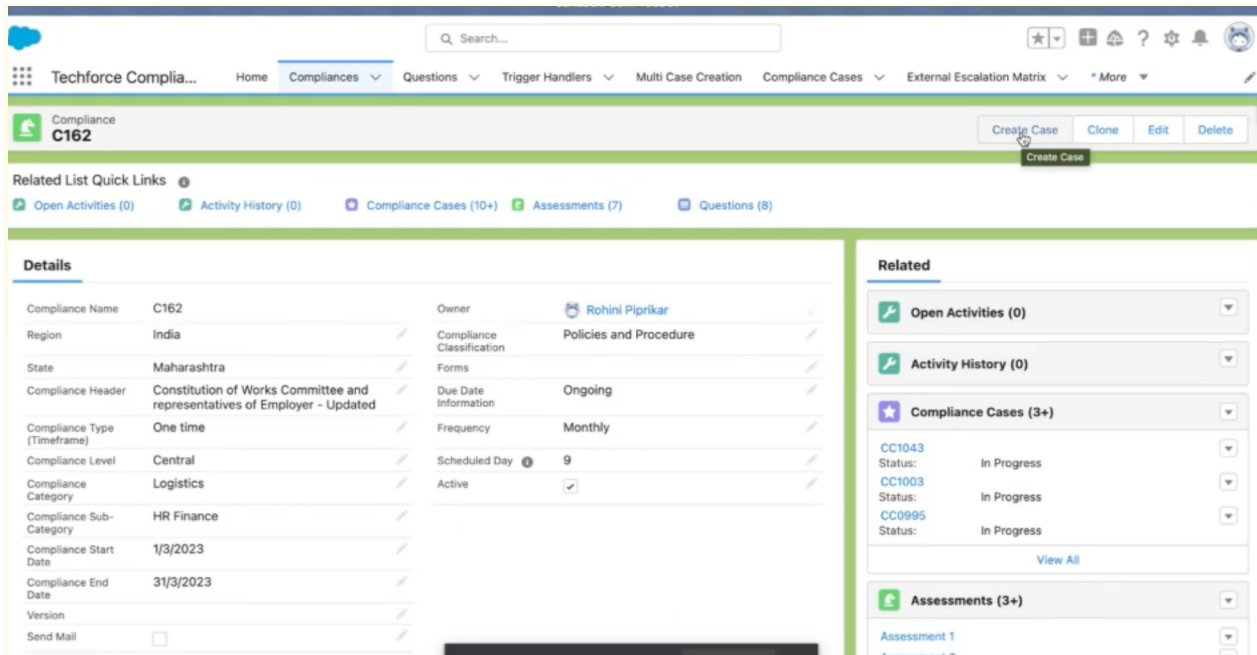
- Conducting trainings & sessions with employees to educate them on risks & compliance policies
- To ensure that the regulatory changes are captured appropriately & the application is kept up to date all the time.

Case Creation:

- Manual Case Creation- Case can be created manually for any compliance record via create case button and this will trigger a flow in the backend and After clicking on that button user can create individual Compliance case as well as Case assessment directly from the Compliance Records. When any case gets created in the system the status of the case is “In Progress” and when it moves to the next status which is “Assessment” it will reflect the Case Assessment records under the related list.

Please follow the below steps:

- Go to Compliance record
- Click on “Create Case” Button



The screenshot displays the Techforce Compliance system interface. At the top, there is a navigation bar with a search bar and various icons. Below the navigation bar, the main header shows 'Compliance C162' with a 'Create Case' button highlighted. The 'Related List Quick Links' section includes 'Open Activities (0)', 'Activity History (0)', 'Compliance Cases (10+)', 'Assessments (7)', and 'Questions (8)'. The 'Details' section on the left lists various fields for Compliance C162, including Region (India), State (Maharashtra), Compliance Header (Constitution of Works Committee and representatives of Employer - Updated), Compliance Type (One time), Compliance Level (Central), Compliance Category (Logistics), Compliance Sub-Category (HR Finance), Compliance Start Date (1/3/2023), Compliance End Date (31/3/2023), Version, and Send Mail. The 'Related' section on the right shows 'Open Activities (0)', 'Activity History (0)', 'Compliance Cases (3+)' with a list of cases (CC1043, CC1003, CC0995) and their status (In Progress), and 'Assessments (3+)' with a list of assessments (Assessment 1).

- **Bulk Case Creation**

1. Bulk- We have a “Mass Case Creation” LWC page and from there user can select the compliance records and create cases in bulk

Please follow the below steps:

Multi Case Creation			
Compliance List ✓ Create Case for Selected Compliances			
☐ Name	☐ Compliance Description	☐ Priority	☐
☐ C056	Constitution of Works Committee and representatives of Employer	High	
☐ C057	Notice and procedure upon closure of establishment	Low	
☐ C058	Imposition of Fines	Medium	
☐ C059	Restroom/ Washroom	High	
☐ C060	Procedures as to elections of Workmen's representatives and Meetings	Medium	
☐ C061	Prohibition and regulation of doors, ground-floor windows and bars opening outwards causing obstru...	Medium	
☐ C062	Mandatory Statutory Obligation and Records	Medium	
☐ C063	Sales Process	High	
☐ C064		Medium	
☐ C065		Low	
☐ C066	test dummy data	Low	

Approvals:

If the second level Approval is checked then the Compliance Officer receives an Approval email notification and can login into GRC application and Approve or Reject and also Reassign it to other users.

Approval Request Compliance Case Approval Pending Approve Reject Reassign																			
Submitter	Date Submitted	Actual Approver	Assigned To																
Pranshu Sanchania	04/05/2023	Human Resources Managers	Human Resources Managers																
Details Approval Details <table> <tr> <td>Action ID</td> <td>CC1705</td> <td>Status</td> <td>Review</td> </tr> <tr> <td>Category</td> <td>Human Resources</td> <td>Owner</td> <td>Human Resources</td> </tr> <tr> <td>Approval Status</td> <td>Submitted</td> <td>Additional Info</td> <td></td> </tr> <tr> <td>Compliance ID</td> <td>C271</td> <td></td> <td></td> </tr> </table>				Action ID	CC1705	Status	Review	Category	Human Resources	Owner	Human Resources	Approval Status	Submitted	Additional Info		Compliance ID	C271		
Action ID	CC1705	Status	Review																
Category	Human Resources	Owner	Human Resources																
Approval Status	Submitted	Additional Info																	
Compliance ID	C271																		

Reports Compliance Officer can see on the Home page Dashboard

Compliance cases status report as per Region wise (grouped as per region)
Cases due for Tomorrow grouped with priority.
Open Non Compliance Cases - which crossed due date
Active or Inactive Compliances
Closed Non-Compliance Cases with priority grouping.
Open Non - Compliance Cases with priority grouping
Closed cases within Due Date
Overall Current Month Compliance Cases
Completed current month compliance cases
cases whose due date is close
Review current month compliance cases
Inprogress current month compliance cases
Assessment current month compliance cases